

ATTORNEY DOCKET NO.

11321-P077WOUS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Richard E. Smalley et al.

Serial No.: 10/575,352

Filing Date: October 14, 2004

Art Unit: Unknown

Examiner: Unknown

Title: *Amplification of Carbon Nanotubes Via Seeded Growth Methods*

Mail Stop: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Applicant hereby submits the following references in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. Foreign references cited in the attached PTO/SB/08A are enclosed for the examiner's reference and copies of the references cited in the attached PTO/SB/08B are also enclosed. Furthermore, pursuant to 37 C.F.R. § 1.97(g) and (h), no representation is made that this is material to patentability of the present application or that a search has been made.

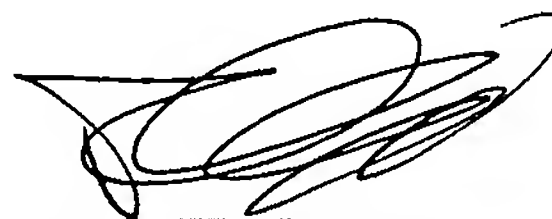
Applicant hereby submits that claims of Applicant's referenced patent application are patentably distinguishable from these references.

This Information Disclosure Statement is being filed within three (3) months of these references being cited in a communication from a foreign patent office in a corresponding foreign application.

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Applicant does not believe that any fees are due at this time; however, the Director of Patents and Trademarks is hereby authorized to charge any fees relating to this Information Disclosure Statement under 37 CFR § 1.17 to Deposit Account No 23-2426 of WINSTEAD SECHREST & MINICK P.C. (referencing matter 11321-P077WOUS).

Respectfully submitted,



Date: 4/12/07

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#### CERTIFICATE OF MAILING

I hereby certify that the attached *Information Disclosure Statement* and cited art are being deposited with the USPS, with sufficient postage as first class mail, addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this the 12<sup>th</sup> day of April, 2007.

4/12/07  
Date

J. E. Shaddox  
Signature

906552v.1 11321/P077WOUS



Approved for use through 03/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO

**(Use as many sheets as necessary)**

Sheet

1

of

2

**Complete if Known**

Application Number

10/575.352
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Filing Date

October 14, 2004

**First Named Inventor**

Richard E. Smalley

## Art Unit

Unknown

**Examiner Name**

Unknown
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Attorney Docket Number

11321-P077WOUS
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## U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> ~Number <sup>4</sup> ~Kind Code <sup>5</sup> (if known)				
	2	WO 03/084869	10/16/03	Rice University		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/575,352
				Filing Date	October 14, 2004
				First Named Inventor	Richard E. Smalley
				Art Unit	Unknown
				Examiner Name	Unknown
Sheet	2	of	2	Attorney Docket Number	11321-P077WOUS

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	3	STRANO ET AL., "Electronic structure control of single-walled carbon nanotube functionalization", 301 Science (2003), pgs. 1519-1522	
	4	AN ET AL., "Synthesis of nearly uniform single-walled carbon nanotubes using identical metal-containing..", 124 J. Am. Chem. Soc. (2002), pgs. 13688-13689	
	5	International Preliminary Report on Patentability, (PCTY/US04/034002), dated January 17, 2007	

Examiner Signature		Date Considered	
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